



Receipt

ATTORNEY'S DOCKET NO. C1104/7039

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling, et al.  
Serial No: 09/663,969  
Filed: September 19, 2000  
For: UNIVERSAL LIGHTING NETWORKS METHODS AND SYSTEMS  
Examiner: Philogene, H.  
Art Unit: 2821

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, Washington, D.C. 20231, on the 5th day of October, 2001.

*Jamie Michalicki*  
Signature

COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith is an Amendment in the above-identified application.  
The fee has been calculated as shown below:

CLAIMS AS AMENDED

	Claims Remaining After Amendment		Highest No. Previously Paid For		Present Extra		Rate		Additional Fee
TOTAL CLAIMS	20	-	20	=	0	x	\$ 9	=	\$ 0.00
INDEP. CLAIMS	6	-	3	=	3	x	\$ 42	=	\$ 126.00
INFORMATION DISCLOSURE STATEMENT									\$ 180.00
TOTAL FEE FOR THIS AMENDMENT									= \$ 306.00

- [X] Power of Attorney  
[X] Request for a Corrected Filing Receipt  
[X] Request to Change Attorney Docket Number  
and Change of Correspondence Address  
[X] Please charge any fees or credit overpayment to Deposit Account 23/2825.  
A duplicate of this sheet is enclosed.

TO 2500 MAIL ROOM

DEC 26 2001

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*Joseph Teja*  
Richard F. Giunta, Reg. No. 36,149  
Joseph Teja, Jr., Reg. No. 45,157  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, Massachusetts 02210-2211  
Tel: (617) 720-3500

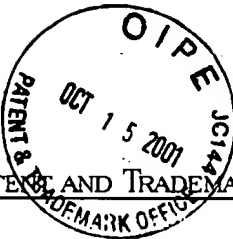
Docket No. C1104/7039  
Dated: October 5, 2001  
X (10/5/01)

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 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
09/663,969	09/19/2000	Kevin J. Dowling	CKC-015.01

CONFIRMATION NO. 4500



\*OC000000005962998\*

 Robert A. Mazzaresse  
 Patent Group  
 Foley Hoag & Eliot LLP  
 One Post Office Square  
 Boston, MA 02109-2170

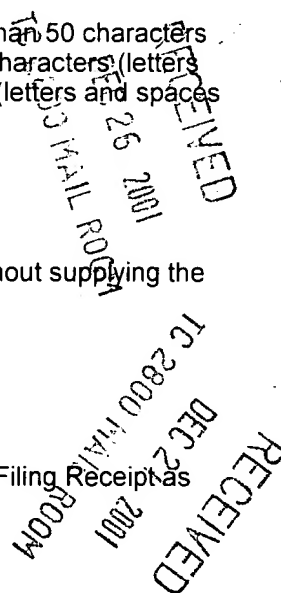
Date Mailed: 04/12/2001

## RESPONSE TO REQUEST CORRECTED FILING RECEIPT

### Claims, Fees, Inventors and Continuity

In response to your request for a corrected Filing Receipt, the Office is unable to comply with your request because:

- ☐ The total number of claims appearing on the Filing Receipt does not include multiple dependent claims. The total fee appearing on the Filing Receipt includes the cost of multiple dependent claims that were present at the time the application was filed.
- ☐ The filing fee is correct. It includes the surcharge under 37 CFR 1.16(e) for filing an oath/declaration or basic filing fee after the application filing date.
- ☐ The inventor information may be truncated if the family name consists of more than 50 characters (letters and spaces combined) and if the given name consists of more than 50 characters (letters and spaces combined). The inventor's residence allows for up to 40 characters (letters and spaces combined).
- ☐ The docket number allows a maximum of 25 characters.
- ☒ Continuity claimed under 35 USC 120 cannot be added to the Filing Receipt without supplying the relationship (i.e. continuation, divisional...).
- ☐ Foreign priority will appear on the Filing Receipt in the following order:  
**Country, Application number, Filing date.**
- ☐ The person signing on behalf of the deceased inventor will be reflected on your Filing Receipt as the legal representative.



- ☐ The enclosed Filing Receipt was returned to the Office as undeliverable. We are sending a second filing receipt to the address given.
- ☐ Only one character per space is allowed. Therefore, punctuation which is usually placed above or below a letter, such as an umlaut (..), cannot be included on the Filing Receipt.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

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*A copy of this notice MUST be returned with the reply.*

  
\_\_\_\_\_  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



ATTORNEY'S DOCKET NO: C1104/7039

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling et al.  
Serial No: 09/663,969  
Filed: September 19, 2000  
For: UNIVERSAL LIGHTING NETWORK METHODS AND SYSTEMS

Examiner: Philogene, H.  
Art Unit: 2821

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, Office of Initial Patent Examination, Customer Service Center, Washington, D.C. 20231, on the 5th day October, 2001.

  
Signature

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Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Sir:

**REQUEST FOR A CORRECTED FILING RECEIPT**

Attached is a copy of a first corrected Filing Receipt and a Response to Request Corrected Filing Receipt, both dated 4/12/01, received from the PTO in the above-identified application. Issuance of a second corrected Filing Receipt is respectfully requested because, apparently due to PTO error, the Domestic Priority Data is still incorrect on the attached Filing Receipt. Also, Applicants wish to note a change in Attorney Docket Number.

The Response to Request Corrected Filing Receipt received from the PTO on 4/12/01 asserts that the continuity claimed under 35 U.S.C. §120 in Applicants' original request to correct the Filing Receipt cannot be added to the Filing Receipt without supplying the relationship (i.e., continuation, divisional...). However, in the original request to correct the Filing Receipt, Applicants in fact specified such a relationship.

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DEC 21 2001  
2806 MAIL ROOM

In any case, the Domestic Priority Data as claimed by Applicants should read as follows:

THIS APPLICATION IS A CIP OF 09/425,770 10/22/1999 PAT 6,150,774,  
WHICH IS A CON OF 08/920,156 08/26/1997 PAT 6,016,039.  
THIS APPLICATION ALSO IS A CIP OF 09/215,624 12/17/1998,  
AND A CIP OF 09/213,537,  
AND A CIP OF 09/213,607,  
AND A CIP OF 09/213,189,  
AND A CIP OF 09/213,548,  
AND A CIP OF 09/213,581,  
AND A CIP OF 09/213,659,  
AND A CIP OF 09/213,540,  
AND A CIP OF 09/333,739.

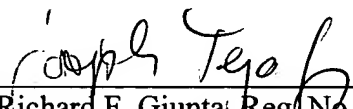
Also, the Attorney Docket Number should be changed from CKC-015.1 to **C1104/7039**.

Please correct the enclosed filing receipt with the desired changes as marked in red, and forward a second corrected filing receipt to us at your earliest convenience.

Should any questions arise concerning the foregoing, please contact the undersigned at the telephone number listed below. The above errors related to the Domestic Priority Data appear to be due to PTO error. As such, no additional fee or certification is believed to be required. However, if for any reason a fee paid is inadequate, or credit is owed for any excess fee paid, the Commissioner is hereby authorized and requested to charge or credit our Deposit Account No. 23/2825.

Respectfully submitted,

***Kevin J. Dowling et al., Applicant(s)***

By   
Richard F. Giunta, Reg. No. 36,149  
Joseph Teja, Jr., Reg. No. 45,157  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. No. (617) 720-3500

Attorney Docket No. C1104/7039

Dated: October 5, 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/663,969	09/19/2000	2817	345	CKG-015-01 C1104/7039	9	1	1

CONFIRMATION NO. 4500

## CORRECTED FILING RECEIPT



\*OC000000005962990\*

 Robert A. Mazzaresse  
 Patent Group  
 Foley Hoag & Eliot LLP  
 One Post Office Square  
 Boston, MA 02109-2170

Date Mailed: 04/12/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

 Kevin J. Dowling, Westford, MA;  
 Frederick M. Morgan, Quincy, MA;  
 Ihor A. Lys, Boston, MA;  
 Michael K. Blackwell, Milton, MA;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/425,770 10/22/1999 PAT 6,150,774,  
 WHICH IS A CON OF 08/920,156 08/26/1997 PAT 6,016,038, THIS APPLICATION ALSO AS  
 WHICH IS A CIP OF 09/215,624 12/17/1998, AND A CIP OF 09/213,537,  
 AND A CIP OF 09/213,607,  
 AND A CIP OF 09/213,189,

## Foreign Applications

UNITED STATES OF AMERICA 98/17702 08/26/1997

If Required, Foreign Filing License Granted 11/14/2000 -

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

→ AND A CIP OF 09/213,548,  
 AND A CIP OF 09/213,551,  
 AND A CIP OF 09/213,659,  
 AND A CIP OF 09/213,540,  
 AND A CIP OF 09/333,739.

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APR 23 2001

PATENT DEPT.  
DOCKETING

**Title**

Universal lighting network methods and systems

**Preliminary Class**

315

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**Data entry by :** DAY, MARIAN

**Team :** OIPE

**Date:** 04/12/2001





**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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 Washington, DC 20231